

09/980989

FORM PCT 1390
REV. 5/93

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NO.
WESPEL (PCT)TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

JC18 Rec'd PCT/PTO 0,6 DEC 2001

INTERNATIONAL APPLICATION NO.
PCT/DE00/01065INTERNATIONAL FILING DATE
6 APRIL 2000PRIORITY DATE CLAIMED
6 APRIL 2000

TITLE OF INVENTION

METHOD AND DEVICE FOR CHANGEABLY DEFINING ACCESS RIGHTS TO COMPUTER FILES

APPLICANT(S) FOR DO/EO/US
THOMAS WESPEL

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau)
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
1. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

PCT/ISA/210 - Int'l. Search Report
1 sheet of formal drawingsApplicant Claims Priority under 35 U.S.C. §119 of German Application No. 100 17 121.4 filed April 6, 2000.
Applicant Claims Priority under 35 U.S.C. §120 of: PCT/DE00/01065 filed April 6, 2000.


09/980989
06 DEC 2001

APPLICATION NO. (if known, see 37 CFR 1.5)				INTERNATIONAL APPLICATION NO. PCT/DE00/01065	ATTORNEY'S DOCKET NO. WESPEL (PCT)
<input checked="" type="checkbox"/> The following fees are submitted: Basic National Fee (37 CFR 1.492(a)(1)-(5)): Search Report has been prepared by the EPO or JPO.....\$890.00 International preliminary examination fee paid to USPTO (37 CFR 1.482)\$690.00 Neither international preliminary examination fee paid (37 CFR 1.82) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$1,040.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS	PTO USE ONLY
Surcharge of \$130.00 for furnishing the oath or declaration later than ____ 20 ____ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
Claims	Number Filed	Number Extra	Rate		
al Claims	11 - 20 =	- 0 -	X \$18.00	\$	
endent Claims	1 - 3 =	- 0 -	X \$84.00	\$	
le dependent claim(s) (if applicable)			+ \$280.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$ 890.00	
t by 1/2 for Small Entity status.				\$ 445.00	
SUBTOTAL =				\$ 445.00	
g fee of \$130.00 for furnishing the English translation later than ____ 20 ____ 30 om the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$ 445.00	
Fording the enclosed assignment (37 CFR 1.21(h)). The assignment must be ied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +					
TOTAL FEES ENCLOSED =				\$ 445.00	
				Amount to be: refunded	\$
				charged	\$

☐ Applicant claims Small Entity status.
☐ A check in the amount of \$ 445.00 to cover the above fees is enclosed.
☐ Please charge my Deposit Account No. 03-2468 in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 03-2468. A duplicate copy of this sheet is enclosed.

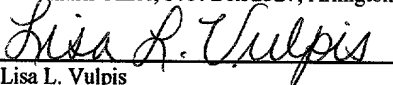
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
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Signature
Edward R. Freedman
Reg. No. 26,048

Express Mail No. **EL 871 449 911 US**
Date of Deposit **December 6, 2001**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above, and is addressed to Box PCT, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202.


Lisa L. Vulpis

09/980989

JC10 Rec'd PCT/PTO 06 DEC 2001
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: THOMAS WESPEL (PCT)
PCT NO.: PCT/DE00/01065
FILED: APRIL 6, 2000
TITLE: METHOD AND DEVICE FOR CHANGEABLY DEFINING ACCESS
RIGHTS TO COMPUTER FILES

PRELIMINARY AMENDMENT

BOX PCT
Ass't. Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Preliminary to the initial Office Action, please amend the
above-identified application as follows:

IN THE SPECIFICATION:

On Page 1, above line 1, please insert the following
paragraphs:

--CROSS REFERENCE TO RELATED APPLICATIONS

Applicant claims priority under 35 U.S.C. §119 of German
Application No. 100 17 121.4 filed April 6, 2000. Applicant also
claims priority under 35 U.S.C. §120 of PCT/DE00/01065 filed
April 6, 2000. The international application under PCT article
21(2) was not published in English.--

IN THE CLAIMS:

Please cancel claims 1-11 and replace them with new claims 12-22 as follows:

--12. A data processing system having a processor unit, working memory and a media unit, an input unit for inputting data and an output unit for outputting data as well as a network control unit and a bi-directional interface for networking the data processing system with a plurality of interconnected data processing systems, as well as an access filter for defining access rights for data stored on the media unit, characterized in that the access filter is provided in an input-output controller (IO controller) of the data processing system between the working memory, on the one hand, and the media unit and the network control unit, on the other hand.

13. A data processing system according to claim 12, characterized in that "collective definitions" are given for all directories and files of all local and networked media in that dummy characters (wild cards or jokers) are inputtable into the system for hitting all definitions inputted into the system.

14. A data processing system according to claim 12, characterized in that the access rights defined in the access

filter are hierarchically arranged in such a way that a plurality of different access rights also containing collective definitions are presettable for a file, the selection of a valid definition of access rights being effected from the plurality of access rights also containing collective definitions by a count of the number of characters or a summation of the number of characters which are given for defining a path and mask.

15. An apparatus according to claim 14, characterized in that a mask can refer to a file or directory.

16. An apparatus according to claim 14, characterized in that a path refers to local and/or networked media.

17. A data processing system according to claim 12, characterized in that the grant of access rights is effected bi-directionally.

18. A data processing system according to claim 17, characterized in that the grant of access rights is effected firstly for users from a network for access to the media of the data processing system protected with the access filter, and secondly for local users for access to local or networked remote media, one's own access rights being superimposed on access

rights of a medium of the local or a networked data processing system.

19. A data processing system according to claim 12, characterized in that the plurality of interconnected data processing systems are formed by a local Intranet.

20. A data processing system according to claim 12, characterized in that the plurality of interconnected data processing systems are formed by the world-wide Internet.

21. An apparatus according to claim 12, characterized in that the input unit for inputting data is designed as a keyboard device.

22. An apparatus according to claim 12, characterized in that the output unit for outputting data is designed as a monitor device.--


REMARKS

By this Preliminary Amendment, the application has been amended to conform with U.S. practice, the cross-reference to related applications has been inserted on page 1 and claims 1-11

have been canceled and replaced with new claims 12-22. No new matter has been introduced. Entry of this amendment is respectfully requested.

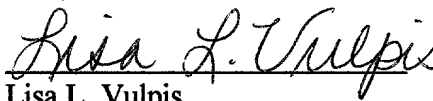
Respectfully submitted,
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Attorneys for Applicants

EXPRESS MAIL NO. EL 871 449 911 US
Date of Deposit December 6, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, on the date indicated above, and is addressed to the Box PCT, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202


Lisa L. Vulpis

09/980989

1/pkts

JG10 Rec'd PCT/PTC 06 DEC 2001

Thomas Wespel
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88487 Mietingen

METHOD AND APPARATUS FOR CHANGEABLE DEFINITION
OF ACCESS RIGHTS TO COMPUTER FILES

This invention relates to a data processing system having a processor unit, a working memory and a media unit, an input unit for inputting data and an output unit for outputting data as well as a network control unit and a bi-directional interface for networking the data processing system with a plurality of interconnected data processing systems, as well as an access filter for defining access rights for data stored on the media unit.

Data processing systems of the abovementioned kind are universally applicable for storing given data in digital form and possibly reorganizing them in accordance with the process steps of given programs. This makes it possible to perform a great variety of manipulations on the data by defining presettable operations on the data. The data in question can be the property of a person or a private or

public organization so that suitable measures are necessary for protecting the data and keeping them secret. Such data protection is conventionally obtained with the aid of access filters, an access legitimation being effected vis-à-vis the data processing system by entry of a protection word into the data processing system. Such access filters are conventionally stored in a medium of the data processing system. This is without disadvantage for data processing systems connected in single operation and not interconnected with other data processing systems in a network, such as an internal company Intranet or the worldwide Internet. However, when a plurality of data processing systems are joined into a network, it is desirable to be able to change the access filter for an arbitrary one of the plurality of data processing systems externally via another one of the plurality of data processing systems of the same network so as to increase the security of the totality of data stored in the group of networked data processing systems.

The problem of the invention is therefore to provide a data processing system which permits easy changing of the protection code of the access filter.

This problem is solved for a data processing system of the above-mentioned kind in that the access filter is provided in an input-output plant (IO-controller) of the data processing system between the working memory, on the one hand, and the media unit and the network control unit, on the other hand. In this way, an external access to the access filter is possible.

Preferred embodiments of the invention are the subject matter of the subclaims.

In accordance with the diction selected in the present disclosure, a path is the memory location of a file, and a mask is a description of a file name, whereby a description can in principle also contain dummy characters (jokers).

Further, in accordance with the diction selected in the present disclosure, the concept of a "definition" is given as consisting of a path and a mask and the access right valid for said path and mask. A memory location, a file name and

an access right taken together consequently form a definition.

The access rights are normally specified. Examples of access rights are:

- Read
- Write
- Execute
- Delete
- Rename
- Create
- Change attributes

Examples of dummy characters are "*" and "?", whereby a "*" (wild card) can stand for a plurality of arbitrary letters and a "?" (joker) for just one arbitrary letter.

Another possible element of a "definition" given in accordance with the diction of the present disclosure is so-called subdirectories. Subdirectories can optionally be included in "definitions." Generally speaking, a path can contain subpaths, which is in fact normally the case. So that a path is hit in its totality, i.e. including its subpaths, it is necessary to state the subdirectories along with a directory. Otherwise the computer will only recognize a certain path but not the subpaths when a certain directory is entered.

The inventive device has the advantage that one can also grant file rights such that all subdirectories of a directory are automatically included in the grant of access rights via the inventive access filter. This has the advantage that a "definition" need not be newly created for each subdirectory, but a "definition" can be valid for a path with all its subpaths.

In accordance with a first preferred embodiment of the inventive data processing system, it is provided that "collective definitions" are given for all directories and files of all local and networked media in that dummy characters (jokers or wild cards) are inputtable into the system for hitting all definitions inputted into the system. It is thus possible to capture and find the relevant directories and files fast and summarily.

In accordance with another preferred embodiment of the inventive data processing system, it is provided that the access rights defined in the access filter are hierarchically arranged in such a way that a plurality of different access rights also containing collective definitions are presettable for a file, the selection of a valid definition of access rights being effected from the plurality of access rights also containing collective definitions by a count of the number of characters or a summation of the characters which are given in a path as well as in a mask. One thus obtains a flexible design and efficient implementation of the selection of a valid access right.

In accordance with another preferred embodiment of the inventive data processing system, it is provided that a mask can refer to a file or directory. Moreover, it can be provided that a path refers to local and/or networked media. It is thus possible to reliably separate and distinguish between directories and media of different data processing systems of the plurality of networked data processing systems.

In accordance with another preferred embodiment of the inventive data processing system, it is provided that the grant of access rights is effected bi-directional. This feature ensures that a manipulation or change of the access right of a certain data processing system from the plurality of networked data processing systems can be made via each individual one of the networked data processing systems. In accordance with this embodiment of the inventive data processing system, all data processing systems of a plurality of networked data processing systems are hierarchically equal to each other.

In addition it is preferably provided in the inventive data processing system that the grant of access rights is effected firstly for users from the network for access to the media of the data processing system protected with the access filter, and secondly for local users for access to local or networked remote media, one's own given access rights being superimposed on access rights of a medium of a networked data processing system. This permits bi-directional grant of access rights. This embodiment is based on the principle that a plurality of access rights are interconnected by logical ANDing. This ensures that a

single restriction is sufficient for blocking access to the relevant data even when other access rights permit access.

In accordance with a preferred embodiment of the inventive data processing system, the plurality of interconnected data processing systems are formed by a local Intranet for example of a company or government agency. In conjunction therewith or alternatively, the plurality of interconnected data processing systems can also be formed by the world-wide Internet according to the invention.

The input unit for inputting data is preferably designed as a keyboard device in the inventive data processing system. This permits simple manual entry and assignment of data by a user of the inventive data processing system. The output unit for outputting data is preferably designed as a monitor device.

The inventive data processing system will be explained in the following with reference to a preferred embodiment shown in the figure of the drawing, in which:

FIG. 1 shows a preferred embodiment of the inventive data processing system in a schematized representation.

Inventive data processing system 10 shown in FIG. 1 has conventional processor unit 20 consisting of arithmetic processing unit 21 and control unit 22, working memory 23 as well as input-output controller 24 and local media unit 25, together with a keyboard (not shown) as an input unit for inputting data and a monitor (not shown) as an output unit for outputting data. In addition, data processing system 10 has network control unit 26 and bi-directional

interface 24' provided in input-output controller 24 for networking data processing system 10 with a plurality of interconnected data processing systems 100, and inventive access filter 15 provided in input-output controller 24 for defining access rights for data stored on media units 25, 125. In shown inventive data processing system 10, access filter 15 is provided essentially to the invention in input-output controller 24 of data processing system 10 between working memory 23, on the one hand, and media unit 25 and network control unit 22, on the other hand.

Access filter 15 is designed for bi-directional data transfer in the shown embodiment of inventive data processing system 10. In accordance with other embodiments of the invention, access filter 15 can alternatively be formed for a monodirectional data transfer.

The above-explained example of the invention serves only to illustrate the inventive teaching given by the claims, which is not restricted by the example as such.

Patent claims

1. A data processing system having a processor unit, a working memory and a media unit, an input unit for inputting data and an output unit for outputting data as well as a network control unit and a bi-directional interface for networking the data processing system with a plurality of interconnected data processing systems, as well as an access filter for defining access rights for data stored on the media unit, characterized in that the access filter is provided in an input-output controller (IO controller) of the data processing system between the working memory, on the one hand, and the media unit and the network control unit, on the other hand.

2. A data processing system according to claim 1, characterized in that "collective definitions" are given for all directories and files of all local and networked media in that dummy characters (wild cards or jokers) are inputtable into the system for hitting all definitions inputted into the system.

3. A data processing system according to claim 1, characterized in that the access rights defined in the access filter are hierarchically arranged in such a way that a plurality of different access rights also containing collective definitions are presettable for a file, the selection of a valid definition of access rights being effected from the plurality of access rights also containing collective definitions by a count of the number of characters or a summation of the number of characters which are given for defining a path and mask.

4. An apparatus according to claim 3, characterized in that a mask can refer to a file or directory.

5. An apparatus according to claim 3, characterized in that a path refers to local and/or networked media.

6. A data processing system according to any of the above claims, characterized in that the grant of access rights is effected bi-directionally.

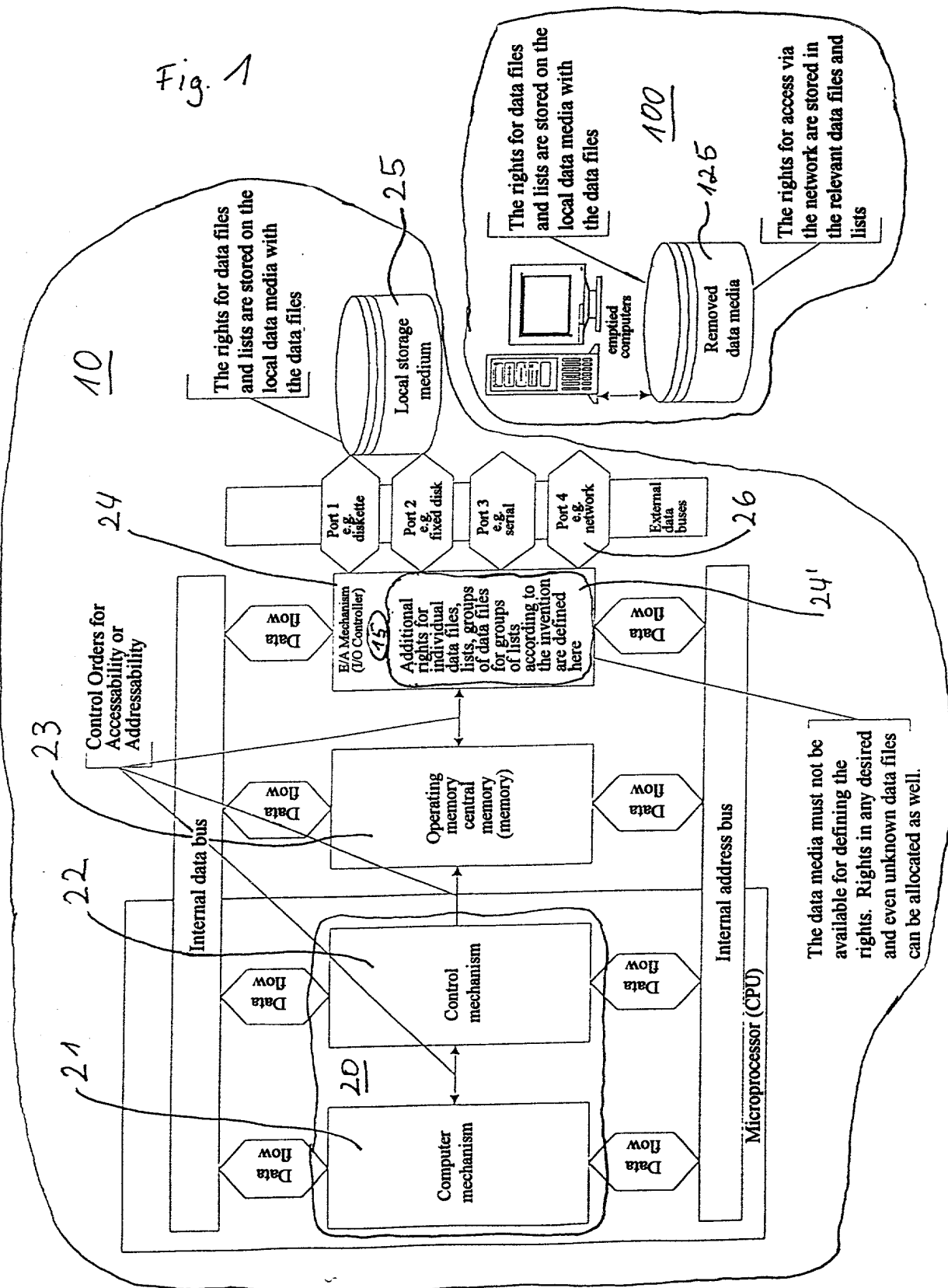
7. A data processing system according to claim 6, characterized in that the grant of access rights is effected firstly for users from a network for access to the media of the data processing system protected with the access filter, and secondly for local users for access to local or networked remote media, one's own access rights being superimposed on access rights of a medium of the local or a networked data processing system.

8. A data processing system according to any of claims 1 to 7, characterized in that the plurality of interconnected data processing systems are formed by a local Intranet.

9. A data processing system according to any of claims 1 to 7, characterized in that the plurality of interconnected data processing systems are formed by the world-wide Internet.

10. An apparatus according to any of the above claims, characterized in that the input unit for inputting data is designed as a keyboard device.

11. An apparatus according to any of the above claims, characterized in that the output unit for outputting data is designed as a monitor device.

[illegible]

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY
 (Includes Reference to PCT International Applications)

 ATTORNEY'S POWER OF ATTORNEY
WESPEL-PCT

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD AND APPARATUS FOR CHANGEABLE DEFINITION OF ACCESS RIGHTS TO COMPUTER FILES

the specification of which (check only one item below)

- ☐ Is attached hereto.
- ☐ was filed as United States application
 Serial No. _____
 on _____
 and was amended
 on _____ (if applicable).
- ☒ was filed as PCT international application
 Number PCT/DE00/01065
 on APRIL 6, 2000
 and was amended under PCT Article 19
 on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT International application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT International application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (if PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 U.S.C. 119
GERMANY	100 17 121.4	6 APRIL 2000	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY
 (Includes Reference to PCT International Applications)

 ATTORNEY'S DOCKET NUMBER
WESPEL-PCT

I hereby claim the benefit under Title 35, United States Code, Section 119(c) of any United States provisional application(s) listed below.

(Application Number)

(Filing Date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER	U.S. FILING DATE		PATENTED	PENDING	ABANDONED
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number):

ALLISON C. COLLARD, Registration No. 22,532;

KURT KELMAN, Registration No. 18,628

EDWARD R. FREEDMAN, Registration No. 26,048;

WILLIAM C. COLLARD, Registration No. 38,411

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2	FULL NAME OF INVENTOR <u>1-00</u>	FAMILY NAME <u>WESPEL</u>	FIRST GIVEN NAME <u>THOMAS</u>	SECOND GIVEN NAME
0	RESIDENCE & CITIZENSHIP	CITY <u>MIETTINGEN</u>	STATE OR FOREIGN COUNTRY <u>GERMANY</u> <u>DEX</u>	COUNTRY OF CITIZENSHIP <u>GERMANY</u>
1	POST OFFICE ADDRESS	POST OFFICE ADDRESS <u>OBEREK WEG 22</u>	CITY <u>D-88487 MIETTINGEN</u>	STATE & ZIP CODE/COUNTRY <u>GERMANY</u>

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201



DATE

18.10.2001